

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)	Docket No.: 089070-0311371
)	
Joseph G. GATTO)	Confirmation No.: 9235
)	
Serial No.: 09/775,599)	Examiner: Narayanswamy Subramanian
)	
Filed: February 5, 2001)	Group Art Unit: 3692

For: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND METHOD

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§ 1.56, 1.97 and 1.98, Applicant hereby makes of record in the above-identified application the documents listed on the attached Form PTO-1449.

Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This Supplemental Information Disclosure Statement is being filed more than three months after the filing date of a national application other than a continued prosecution application under 37 C.F.R. §1.53(d), or more than three months after the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in an international application, and after the mailing date of the first Office Action on the merits, but before the mailing date of any of a Final Action under 37 C.F.R. §1.113, a Notice of Allowance under 37 C.F.R. §1.311, or an action that otherwise closes prosecution in the application. 37 C.F.R. §1.97(c).

Document B was cited by the U.S. Patent Office in International Application No. PCT/US2005/037372, filed October 18, 2005, in the International Search Report dated January 4, 2007. I hereby certify that Document B was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Supplemental Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).

Documents A, C, D, and E were cited by the U.S. Patent Office in co-pending Application Serial No. 10/194,940, filed July 12, 2002, in an Office Action dated December 18, 2006. I hereby certify that none of Documents A and C-E were cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, none of Documents A and C-E were known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Supplemental Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).

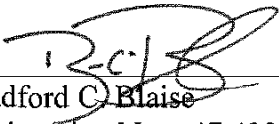
Document B was cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449.

Respectfully submitted,

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Dated: March 19, 2007

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number		
				089070-0311371		09/775,599		
				Applicant(s)				
				Joseph G. GATTO				
				Filing Date		Group Art Unit		
				February 5, 2001		3692		
Form PTO-1449								
U.S. PATENT DOCUMENTS								
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	A	6,078,904	06/20/2000	Rebane	705	36		
	B	2006/0178918	08/10/2006	Mikurak	705	7		
FOREIGN PATENT DOCUMENTS								
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations	
	C	2004-046454A	02/12/2004	Japan			YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)								
	D	The Hulbert Financial Digest, January 20, 2000, Volume XX, Number 5, 11 pages.						
	E	De AENLLE, Conrad, "Short-Sellers' Puzzle: Not Whether, but Which?", International Herald Tribune, February 12, 1994, 2 pages.						

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	